

200000088

THE UNITED STATES OF AMERICA

TO ALL TO WHOM THESE PRESENTS SHARL COME;

Asgrow Seed Company TIC

MUCCHS, THERE HAS BEEN PRESENTED TO THE

Secretary of Agriculture

AN APPLICATION REQUESTING A CERTIFICATE OF PROTECTION FOR AN ALLEGED DISTINCT VARIETY OF SEXUALLY REPRODUCED, OR TUBER PROPAGATED PLANT, THE NAME AND DESCRIPTION OF WHICH ARE CONTAINED IN THE APPLICATION AND EXPIRITS, A COPY OF WHICH IS HEREUNTO ANNEXED AND MADE A PART HEREOF, AND THE VARIOUS REQUIREMENTS OF LAW IN SUCH CASES MADE AND PROVIDED HAVE BEEN COMPLIED WITH, AND THE TITLE THERETO IS, FROM THE RECORDS OF THE PLANT VARIETY PROTECTION OFFICE, IN THE APPLICANT(S) INDICATED IN THE SAID COPY, AND WHEREAS, UPON DUE EXAMINATION MADE, THE SAID APPLICANT(S) IS (ARE) ADJUDGED TO BE ENTITLED TO A CERTIFICATE OF PLANT VARIETY PROTECTION UNDER THE LAW.

NOW, THEREFORE, THIS CERTIFICATE OF PLANT VARIETY PROTECTION IS TO GRANT UNTO THE SAID APPLICANT(S) AND THE SUCCESSORS, HEIRS OR ASSIGNS OF THE SAID APPLICANT(S) FOR THE TERM OF TWENTY YEARS FROM THE DATE OF THIS GRANT, SUBJECT TO THE PAYMENT OF THE REQUIRED FEES AND PERIODIC REPLENISHMENT OF VIABLE BASIC SEED OF THE VARIETY IN A PUBLIC REPOSITIORY AS PROVIDED BY LAW, THE RIGHT TO EXCLUDE OTHERS FROM SELLING THE VARIETY, OR OFFERING IT FOR SALE, OR REPRODUCING IT, OR PORTING IT, OR EXPORTING IT, OR CONDITIONING IT FOR PROPAGATION, OR STOCKING IT FOR ANY OF THE PURPOSE, OR USING IT IN PRODUCING A HYBRID OR DIFFERENT VARIETY THEREFROM, TO THE EXTENT PROPAGATION OF PLANT VARIETY PROTECTION ACT. (84 STAT. 1.542, AS AMENDED, 7 U.S.C. 2221 ET SEQ.)

SOYBEAN

'AG4101'

In Jestimonn Therest, I have hereunto set my hand and caused the seal of the Flant Pariety Protection Office to be affixed at the City of Washington, D.C. this twenty-fourth day of April, in the year of our Lord two thousand one.

Altest:

alunk Post

Acting Commissioner Plant Variety Protection Office Agricultural Markoting Service of Agricultur

U.S. DEPARTMENT OF AGRICULTURE AGRICULTURAL MARKETING SERVICE SCIENCE AND TECHNOLOGY - PLANT VARIETY PROTECTION OFFICE

The following state ments are made in accordance with the Privacy Act of 1974 (5 U.S.C. 552a) and the Paperwork Heduction Act (PRA) of 1995.

APPLICATION FOR PLANT VARIETY PROTECTION CERTIFICATE

Application is required in order to determine it a plant variety protection certificate is to be issued (7 U.S.C. 2421). Information is need confidential until certificate is issued (7 U.S.C. 2426).

(Instructions and information of	ollection burden statement (on reverse)			
1 NAME OF OWNER				2 TEMPORARY DESIGNATION OR EXPERIMENTAL NAME	3 VARIETY NAME
Asgrow Seed Company	LLC			AGQ42801	AG4101
4 ADDRESS (Street and No. or R.F.D. No. (City, State, and ZIP Code, and Count	(ry)		5 TELEPHONE (include area code)	FOR OFFICIAL USE ONLY
634 East Lincoln Wa Ames IA 50010	y			515-232-7170	PYPO NUMBER
	· ·			6 FAX (include area code) 515-956-6905	FILING DATE
7 IF THE OWNER NAMED IS NOT A "PERSO ORGANIZATION (corporation, partnership,	ONT, GIVE FORM OF association, etc.)	8 IF INCORPORATE STATE OF INCOR	ED GIVE	9 DATE OF INCORPORATION	12/9/1299
Corporation		Delaware		March 22, 1968	
10 NAME AND ADDRESS OF OWNER REPE	ESENTATIVE(S) TO SERVE IN TH	IS APPLICATION (First	person listed will re	eceive all papers)	FILING AND EXAMINATION FEES:
Donald Steffen Asgrow Seed Company 634 East Lincoln Wa Ames IA 50010			ACME ACME ACM ACME ACME		E S 2 450. 00 R DATE 12/9/1999 E CERTIFICATION FEE: VE 3 3 0 5 0 DATE 4-6-0/
11 TELEPHONE (Include area code)	12 FAX (Include area code)	13. E_M/			ROP KIND (Common Name)
515-956-3002	515-956-6905	1 "		fen@monsanto.com	Soybean
15 GENUS AND SPECIES NAME OF CROP		16. FAN	TILY NAME (Botan		THE VARIETY A FIRST GENERATION
Glycine max	· · · · · · · · · · · · · · · · · · ·	Les	guminosae	in the second of	/BRID? ☐ YES ☑ NO
18 CHECK APPROPRIATE BOX FOR EACH reverse) a. [2] Exhibit A. Origin and Breeding	History of the Variety	w instructions on	19. DOES THE CERTIFIE	OWNER SPECIFY THAT SEED OF THIS D SEED? See Section 63(a) of the Plan YES (If 'yes', answer terms 20 and 21 below)	VARIETY BE SOLD AS A CLASS OF at Vanety Protection Act) NO (If "no," go to item 22)
b	n of Variety n of the Variety (Optional) is of the Owner's Ownership untrested seeds or, for tuber propag	aled varieties,	OF GENER	YES	□ NO
repository)	all be deposited and maintained in a 450), made payable to "Treasurer of by Protection Office)		Zi ir res i	O ITEM 20, WHICH CLASSES OF PRODU FOUNDATION REGISTERED	
22. HAS THE VARIETY (INCLUDING ANY H FROM THIS VARIETY BEEN SOLD, DISI OTHER COUNTRIES?	ARVESTED MATERIAL) OR A HYBI POSED OF, TRANSFERRED, OR U	RID PRODUCED SED IN THE U. S. OR	23. IS THE VA	RIETY OR ANY COMPONENT OF THE V IY RIGHT (PLANT BREEDER'S RIGHT OF	ARIETY PROTECTED BY INTELLECTUAL RPATENTI?
YES IF YES, YOU MUST PROVIDE THE DAT FOR EACH COUNTRY AND THE CIRCLE	NO E OF FIRST SALE, DISPOSITION, MISTANCES, (Please use space in	TRANSFER, OR USE dicated on reverse.)		YES .EASE GIVE COUNTRY, DAYE OF FILING CE NUMBER. (Please use space indicate	
24 The owners declare that a viable sample for a tuber propagated variety a tissue out. The undersigned owner(s) is(are) the ownerd is entitled to protection under the pro- Owner(s) is(are) informed that false repre-	ture will be deposited in a public representation of this seroughly reproduced or tub visions of Section 42 of the Plant Va	pository and maintained in per propagated plant vari nety Protection Act.	for the duration of lety, and believe(s	ished upon request in accordance with suctificate. i) that the variety is new, distinct, uniform, a	
SIGNATURE OF OWNER			SIGNATURE	OF OWNER	
NAME (Please print or type)		normalistic de la companya de la com	NAME (Please	e print or type)	
Donald Steffen	e de la servició de la companya de la servició de la companya de la companya de la companya de la companya de La companya de la co	en de la tradación de la composition della compo		en e	
CAPACITY OR TITLE Regulatory Affair	DATE	15/1999	CAPACITYO	RTITLE	DATE
S&T-470 (6-98) designed by the Plant Vanety F	9 7		(03-96) which is a	bsolete /See reverse for instrumen	ns and information collection burden statemen

1994

19976

reproduction.

EXHIBIT A

ORIGIN AND BREEDING HISTORY OF AG4101

Parentage: QE4459/AG4501

1995 F1 & F2 generations were grown near Isabela, Puerto Rico and advanced using modified pedigree selection.

1995-6 F3 Bulk Populations were grown in Isabela, Puerto Rico and single plants pulled.

1996 F3 derived F4 plants were grown in Galena, Maryland in progeny rows, and row QG950538Q96-20837 was selected based on agronomic characteristics.

1996-7 F3:5 breeder seed was sent to winter nursery for double increase.

F3:6 QG950538Q96-20837 was entered in a yield test at 8 locations in the Midwest, where it placed 3^{rd} of 30 entries.

Cross QG950538 was made near Galena, Maryland.

AG4101 is uniform and stable within commercially acceptable limits based on trial observations since 1996. As with any other soybean variety, variants can occur for almost any characteristic during the course of repeated sexual

EXHIBIT B

Novelty Statement Concerning AG4101 Soybean

To our knowledge, the soybean varieties that closely resemble AG4101 are A4045, A4138, AG4501:

1. Flower color	AG4101 - WI	hite
	A4045	- Purple
	A4138	- White
	AG4501	- Purple
2. RR™ gene	AG4101 - Pre	esent
(Tolerance to glyphosate herbicide)	A4045	- Absent
,	A4138	- Absent
	AG4501	- Present
3. STS gene	AG4101 - Re	sistant
(Resistance to sulfonylureas)	A4045	- Resistant
	A4138	- Susceptible
	AG4501	- Resistant
4. Soybean cyst nematode resistance	AG4101 - Re	s3,Mod.Res14
(Race 3 and Race 14)	A4045	- Susc3, Susc14
	A4138	- Res3, Mod. Res14
	AG4501	- Mod.Res3,Mod.Res14

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REPRODUCE LOCALLY. Include form number and date on all reproductions

According to the Paperwork Reduction Act of 1995, an agency may not conduct or sponsor, and a person is not required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this collection of information is (0581-0055). The time required to complete this information collection is extimated to average 30 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information.

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To file a complaint of discrimination, write USDA, Director, Office of Civil Rights, Room 326-W, Whitten Building, 14th and Independence Avenue, SW, Washington, DC 20250-9410 or call (202) 720-5964 (voice and TDD). USDA is an equal opportunity provider and employer.

U.S. DEPARTMENT OF AGRICULTURE
AGRICULTURAL MARKETING SERVICE
SCIENCE AND TECHNOLOGY
PLANT VARIETY PROTECTION OFFICE
BELTSVILLE, MD 20705

EXHIBIT C (Soybean

OBJECTIVE DESCRIPTION OF VARIETY SOYBEAN (*Glycine max* (L.) Merr.)

IVALVIE OF	APPLICANI(8)				FOR OFFICIAL USE ONLY
Asgro	w Seed Com	pany LLC			PVPO NUMBER
ADDRESS ((Street and No., or R.F.	D. No., City, State, and	l Zip Code)		VARIETY NAME
		,	1		AG4101
	t Lincoln Way	7			TEMPORARY DESIGNATION
Ames]	IA 50010				AGQ42801
PLEASE RE	AD ALL INSTRUC	TIONS CAREFULL	Y: Place the appropri	ate number that des	cribes the varietal character of this variety in the boxes below. Place
a zero in the i minimum of standard may	tirst box (e.g. LLT) 100 plants. Compa be used to detern	☐ or ☐☐) when rative data should be nine plant colors;	number is either 99 o	r less 9 or less respe vrieties entered in th ed:	ectively. Data for quantitative plant characters should be based on a ne same trial. Royal Horticultural Society or any recognized color
	PHOLOGY			,	p-reaction.
Seed Shap	e:				
	1 =	Spherical		2 = Spheric	al Flattened
2	(L/	W, L/T, and T/W	V ratios - <1.2)	(L/W ratio	>1.2; L/T ratio = <1.2)
		Elongate		4 = Elonga	te-Flattened
		T ratio > 1.2; T/W	' = <1.2)	(L/T ratio >	1.2; T/W >1.2)
Seed Coat	Color:				
1	1= Yellow	2= Green	3= Brown	4= Black	5= Other
					(Please Specif <u>s)</u>
Seed Coat	Luster:			÷	
1	1= Dull	2= Shiny			
Seed Size:					
1 7	grams/100 s	eeds			
Hilum Colo	or:				
6	1= Buff	2= Yellow	3= Brown	4= Gray	5= Imperfect Black
	6= Black	7= Other (Pl	ease Specify)		
Cotyledon (Color:				
1	1 = Yellow	2 = Green			

A. MORPHOLOGY Continued) 200000088 Seed Protein Peroxidase Activity: 1 = Low2 = High**Hypocotyl Color:** 1 = Green 2 = Green with Bronze 3 = Light Purple4 = Dark Purpleextending to Evans' or 'Davis' Bands below Cotyledon below Cotyledons unifoliate leaves (Hodgson', Woodworth'or'Tracy' 'Beeson'or'Pickett71' 'Coker',or'Hampton266A') Leaf Shape: 3 1 = Lanceolate 2 = Oval3 = Ovate4 = Other (Please Specify)Flower Color: 1 1 = White2 = Purple3 = White with a Purple Throat Pod Color: 2 1 = Tan2 = Brown3 = Black **Pubescence Color:** 2 1 = Gray2 = Brown (Tawny) 3 = Light Tawny Plant Habit: 1= Determinate 2= Semi-Determinate 3= Indeterminate 3 4 = Intermediate **B. DISEASE REACTIONS** 0 = Not Tested 1 = Susceptible 2 = Resistant3 = Tolerant**Bacterial** Bacterial Pustule (Xanthomonas campestris pv. glycines (Nakano) Dye) Bacterial Blight (Pseudomonas syringae pv. glycinea (Coerper) Young, Dye &Wilkie) Wildfire Blight (Pseudomonas syringae pv. tabaci (Wolf & Foster) Young, Dye &Wilkie) Fungal Brown Spot (Septoria glycines Hemmi) Frogeye Leafspot (Cercospora sojina) race 1 race 2 race 3 race 4

Target Spot (Corynespora cassiicola (Berk. & Curt.)Wei)

race 6

Downy Mildew (Peronospora trifoliorum var. manshurica (Naum.) Syd. Ex Gaum)

Other (Please Specify)

race 5

B. D	ISEASE REAC	CTIONS (Continued)	0 = Not Tested 1 = Susceptible 2	a = Resistant $3 =$	$ \begin{array}{cccccccccccccccccccccccccccccccccccc$
0	Powder	y Mildew (<i>Microsphaera d</i>	iffusa Cke. & Pk.)		
0	Brown	Stem Rot (<i>Phialophora gre</i>	gata (Allington & Chamberlain) W.	. Gams.)	
0	Stem C	anker (<i>Diaporthe phaseolo</i>	rum (Cke. & Ell.)Sacc. var. caulivor	a Athow & Caldwel	1)
0	Pod and	Stem Blight (<i>Diaporthe pl</i>	haseolorum (Cke. & Ell.)Sacc. var. s	ojae (Lehman) Weh	m.)
0	Purple S	Seed Stain (<i>Cercospora kiki</i>	uchii (T. Matsu. & Tomoyasu) Gard	lener)	
0	Rhizocto	onia Root rot (<i>Rhizoctonia</i>	solani Kuhn)		
Phytor	ohthora Rot (<i>Phy</i>	tophthora megasperma Dre	echs. f. sp. <i>glycinea</i> (Kuan & Erwin)))	
1	race 1	1 race 8	1 race 15	1	race 22
1	race 2	1 race 9	1 race 16	1	race 23
1	race 3	1 race 10	1 race 17	1	race 24
1	race 4	1 race 11	1 race 18	1	race 25
1	race 5	1 race 12	1 race 19	0	race 26
1	race 6	1 race 13	1 race 20	0	race 27
1	race 7	1 race 14	1 race 21		Other (Please
0					Specify)
0		ht (Tobacco Ringspot Vir	•		
		Iosaic (Bean Yellow Mosa	•		
0		Mosaic (Cowpea Chlorotic			
0		de (Bean Pod Mottle Virus			
0	Seed Mot	tle (Soybean Mosaic Viru	s)		
Nemato	ode				
Soybear	1 Cyst Nematode	(Heterodera glycines Ichii	iohe)		
0	race 1	2 race 3	0 race 6	2	race 14 (former r. 4)
0	race 2	0 race 5	0 race 9		Other (<i>Please</i>
0	Lance Ne	matode (<i>Hoplolaimus colo</i>	ombus Sher)		Specify)
0			loidogyne incognita (Kofoid & Whi	te)Chitwood)	
0			loidogyne hapla Chitwood)	.,	

8

	В.	DISEA	ASE REACTIONS Continued) 0 = Not	Tested 1 = Susc	eptible 2 = Resistant	$ \begin{array}{c} 200000\\ 3 = \text{Tolerant} \end{array} $	088
	0	7	Peanut Root Knot Nematode (Meloidogyno	٠			
	0	7	Reniform Nematode (Rotylenchulus renifo	mis Linwood & C	Divera)		
	0		Javanese Nematode (Meloidogyne javanica		•		
]	Other Nematode (Please Specify)		<u> </u>		
	C.	PHYSIC	DLOGICAL RESPONSES 0 = Not	Tested 1 = Susce	eptible 2 = Resistant	3 = Tolerant	
	0		Iron Chlorosis on Calcareous Soil				
	0		Phosphorus				
	0		Boron				
	0]	Aluminum				
	0]	Salt			•	
	0		Drought				
			Other (Please Specify)				
23.	D.	INSECT	REACTIONS 0 = Not T	ested 1 = Suscep	otible 2 = Resistant	3 = Tolerant	•
	0		Mexican Bean Beetle (Epilachna varivestis	Aulsant)			
- 1975 1975 - 1976 1976 - 1976	0	1, ** 3	Potato Leaf Hopper (Empoasca fabae (Harr	is))			
e.			Other (Please Specify)				
	E. 1	HERBIC	TIDE REACTIONS 0 = Not	'ested 1 = Susce	ptible 2 = Resistant		
	2		Metribuzin				
	0		Bentazone				
	2		Sulfonylurea				
	2		Glyphosate				
	1		Glufosinate				
	0		Pendimethalin				
			Other (Please Specify)				
	F. T	RANSG!	ENIC COMPOSITION		······································		
	Has ti	he develop	oment of the Subject Variety included the ins	ertion or removal	of genetic material?	Ves V M	
	lf yes,	please co	omplete the following information equests*. I	se additional pag	es if necessary.	Yes X No	
•		- L (20 00) -L	ssigned by the Plant Variety Protection Office with WordPerfi	+60- D-1 - IDG	1 470 6 (6 00) 1 1 1 1 1		Page 4

F. TRANSGENIC COMPOSITION(Continued)

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- 1. Please state the vector's name:
- 2. Please state the vector components:
- 3. Please describe the genetic material successfully transferred into the Subject Variety:
- 4. Please describe the insertion protocol:
- * A literature citation(s) explaining the four information requests above may be an acceptable alternative to completion of the "Transgenic Composition" portion of this form.

G. BIOCHEMICAL MARKERS

Please describe any biochemical information here which you believe will be helpful in further describing the Subject Variety (e.g. Sim Sequence Repeats, Random Fragment LengthPolymorphisms, Isozymic Characterization). Use additional pages if necessary.

H. COMMENTS

EXHIBIT D

Additional Description of AG4101 Soybean

AG4101 is a early maturity group IV variety with resistance to Roundup tm herbicide. It has very high yield potential. It has superior yields to lines of similar maturity and has excellent agronomic characteristics. In tests, it has beaten Asgrow AG4401 by 110 % overall, winning at 8 of 8 locations. AG4101 would be grown in the early Group IV growing areas of the corn belt, including Illinois, Missouri, Indiana, Kentucky, Maryland, and Virginia. It has above average appearance.

EXHIBIT E

Statement of Basis of Applicant Ownership

AG4101 was originated and developed by Mr. William K. Rhodes, an Asgrow soybean breeder. By agreement with Asgrow Seed Company LLC, all rights to any invention, discovery or development made by employees are assigned to the company. No rights of such invention, discovery or development are returned to the employee.

AGRICULTURAL MARKETING SERVICE	1974 (5 U.S.C. 552a) and the Paperwo	n accordance with the Privacy Act of rk Reduction Act (PRA) of 1995.
EXHIBIT E STATEMENT OF THE BASIS OF OWNERSHIP	Application is required in order to decertificate is to be issued (7 U.S.C. 2 until certificate is issued (7 U.S.C. 2420	421). Information is held confidential
1. NAME OF APPLICANT(S)	TEMPORARY DESIGNATION OR EXPERIMENTAL NUMBER	3. VARIETY NAME
Asgrow Seed Company LLC	AGQ42801	AG4101
4. ADDRESS (Street and No., or R.F.D. No., City, State, and ZIP, and Country)	5. TELEPHONE (include area code)	6. FAX (include area code)
634 E. Lincoln Way Ames IA 50010	515-232-7170	515-232-6905
, mas 211 30010	7. PVPO NUMBER	
8. Does the applicant own all rights to the variety? Mark an "X" in approp	20000	2088
9. Is the applicant (individual or company) a U.S. national or U.S. based of If no, give name of country	ompany?	X YES NO
If no, give name of country	ompany? O If no, please answer one of the f	<u> </u>
If no, give name of country	NO If no, please answer one of the f	<u> </u>
If no, give name of country 10. Is the applicant the original owner? XX YES	If no, please answer one of the formation of the formatio	ollowing:
If no, give name of country 10. Is the applicant the original owner? a. If original rights to variety were owned by individual(s), is (are) the original rights to variety were owned by individual(s).	riginal owner(s) a U.S. national(s)? If no, give name of country e original owner(s) a U.S. based company	ollowing:
If no, give name of country 10. Is the applicant the original owner? XX YES	If no, please answer one of the formation of the formatio	ollowing:
If no, give name of country 10. Is the applicant the original owner? XX YES	If no, please answer one of the foriginal owner(s) a U.S. national(s)? If no, give name of country coriginal owner(s) a U.S. based company If no, give name of country	ollowing:
If no, give name of country 10. Is the applicant the original owner? a. If original rights to variety were owned by individual(s), is (are) the owned by It original rights to variety were owned by a company(ies), is(are) the owned by a company(ies).	If no, please answer one of the foriginal owner(s) a U.S. national(s)? If no, give name of country coriginal owner(s) a U.S. based company If no, give name of country	ollowing:
If no, give name of country 10. Is the applicant the original owner? a. If original rights to variety were owned by individual(s), is (are) the owned by It original rights to variety were owned by a company(ies), is(are) the owned by a company(ies).	If no, please answer one of the foriginal owner(s) a U.S. national(s)? If no, give name of country coriginal owner(s) a U.S. based company If no, give name of country	ollowing:

PLEASE NOTE:

Plant variety protection can be afforded only to owners (not licensees) who meet one of the following criteria:

- 1. If the rights to the variety are owned by the original breeder, that person must be a U.S. national, national of a UPOV member country, or national of a country which affords similar protection to nationals of the U.S. for the same genus and species.
- 2. If the rights to the variety are owned by the company which employed the original breeder(s), the company must be U.S. based, owned by nationals of a UPOV member country, or owned by nationals of a country which affords similar protection to nationals of the U.S. for the same genus and species.
- 3. If the applicant is an owner who is not the original owner, both the original owner and the applicant must meet one of the above criteria.

The original breeder/owner may be the individual or company who directed final breeding. See Section 41(a)(2) of the Plant Variety Protection Act for definition.

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